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PTO/SB/05 (08-03)

Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. AVAN-01000D1

First Inventor Vibha Goel

Title INTEGRATED WAVELENGTH DIVISION MUXIPLEXED RECEIVER  
ARRAY HAVING PLUGGABLE TRANSMITTERS

Express Mail Label No. EL 980273861 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☐ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 8]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 4]
5. Oath or Declaration [Total Pages 3]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
  - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No: 10 / 150,515

Prior application information: Examiner David C. Payne

Group / Art Unit: 2633

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

26290

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name MOSER PATTERSON & SHERIDAN LLP

Address 3040 Post Oak Boulevard  
Suite 1500

City Houston

State

Texas

Zip Code

77056-6582

Country USA

Telephone

650-330-2310

Fax

650-330-2314

Name (Print/Type)

John C. Carey

Registration No. (Attorney/Agent)

51,530

Signature

Date

March 8, 2004

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

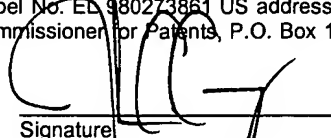
22859 U.S. PTO  
10/796835



20427 U.S. PTO  
030904

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

MAIL STOP PATENT APPLICATION  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

CERTIFICATE UNDER 37 CFR 1.10	
I hereby certify that this transmittal and the documents referred to as attached therein are being deposited on March 8, 2004 with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee," mailing label No. ED 980273861 US addressed to: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450.	
Date 3/8/04	Signature 

REQUEST FOR FILING A PATENT APPLICATION  
UNDER 37 CFR 1.53(b)

This is a request for filing the following continuing application for a prior application:

- ☐ Continuation
- ☒ Divisional
- ☐ Continuation-in-part
- ☐ attached is an amendment for added subject matter
- ☐ Continuing application to permit consideration of an information disclosure statement under 37 CFR 1.97

PARTICULARS OF PRIOR APPLICATION

Application Serial No.: 10/150,515

Confirmation No.: 1091

Filed: May 17, 2002

Title: INTEGRATED WAVELENGTH DIVISION MULTIPLEXED RECEIVER  
ARRAY HAVING PLUGGABLE TRANSMITTERS

Name(s) of applicant(s) (as originally filed and as last amended) and the current correspondence address and country of citizenship for each:

Sole or First Inventor:

Name: Vibha Goel  
Residence: 12262 Goleta Avenue, Saratoga, California 95070  
Country of Citizenship: United States  
Post Office Address: same as above

**INVENTORSHIP STATEMENT**

- (a) ☒ This application discloses and claims only subject matter disclosed in the prior application whose particulars are set out above, and the inventor(s) in this application are:
- ☒ the same
- ☐ less than those named in the prior application, and it is requested that the following inventor(s) for the prior application be deleted:
- (b) ☐ This application discloses and claims additional disclosure and a new declaration or oath is being filed. With respect to the prior application whose particulars are set out above, the inventor(s) in this application are:
- ☐ the same
- ☐ not the same, and are listed in the attached new declaration or oath filed herewith.
- (c) ☒ The inventorship for all the claims in this application is:
- ☒ the same
- ☐ not the same; and an explanation, including the ownership of the various claims at the time the last claimed invention was made, is submitted.

**DECLARATION OR OATH**

- ☒ Continuation or Divisional (copy of original Declaration/Oath is attached)
- ☐ Continuation-in-part
- ☐ Attached, and executed by:
- ☐ inventor(s)
- ☐ legal representative of inventor(s) (37 CFR 1.42 or 1.43)

- ☐ joint inventor or person showing a proprietary interest for inventor who refused to sign or cannot be reached (37 CFR 1.47)
- ☐ This is the petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is also attached.
- ☐ Not attached
- ☐ Application is made by a person authorized under 37 CFR 1.41(c) on behalf of all of the above-named applicant(s).
- ☐ Attached is a showing that the filing is authorized.

**IDENTIFICATION OF CLAIMS FOR FURTHER PROSECUTION**

☒ The fees to be charged are to be based on the number of claims remaining as a result of the:

- ☐ attached preliminary amendment
- ☒ cancellation of claim(s) 6-7
- ☐ claims in the application

**FEE CALCULATION (37 CFR 1.16)**

	NUMBER OF CLAIMS FILED	LESS NUMBER PAID BY BASIC FEE	NUMBER OF EXTRA CLAIMS (Not less than zero)	ENTITY FEE
Basic Fee				\$770.00
Total Claims	5	- 20 = 0	X \$18 = 0	\$0.00
Independent Claims	1	- 3 = 0	X \$86 = 0	\$0.00
First Presentation of Multiple Dependent Claims + \$.				-0-
Total Filing Fee Calculation				\$770.00

**PETITION FOR SUSPENSION OF PROSECUTION FOR THE TIME NECESSARY TO FILE AN AMENDMENT**

- ☐ There is provided herewith a Petition for Suspension of Prosecution for the Time Necessary to File an Amendment (37 CFR 1.103) – New Application Filed Concurrently

**FEE PAYMENT BEING MADE AT THIS TIME**

- ☐ No filing fee is submitted

- |                                     |  |          |
|-------------------------------------|--|----------|
| <input checked="" type="checkbox"/> | Filing Fee   | \$770.00 |
| <input type="checkbox"/>            | Recording Assignment [37 CFR 1.21(h)]  | \$ 40.00 |
| <input type="checkbox"/>            | Petition fee for filing by other than all the inventors or person not the inventor where inventor refused to sign or cannot be reached [37 CFR 1.47 and 1.17(h)] | \$130.00 |
| <input type="checkbox"/>            | Processing and retention fee [37 CFR 1.53(d) and 1.21(l)]  | \$130.00 |
| <input checked="" type="checkbox"/> | <b>Please charge Deposit Account No. 20-0782/AVAN-01000D1 in the amount of:</b><br><b>(A duplicate copy of this request is enclosed)</b>                         | 770.00   |

**AUTHORIZATION TO CHARGE ADDITIONAL FEES**

- ☒ The Commissioner is hereby authorized to charge the following additional fees which may be required by this paper and during the entire pendency of this application, to **Deposit Account No. 20-0782/AVAN-01000D1.**
- ☒ 37 CFR 1.16(a), (f) or (g) (filing fees)
  - ☐ 37 CFR 1.16(b), (c) and (d) (presentation of extra claims)
    - ☐ 37 CFR 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
    - ☐ 37 CFR 1.17 (application processing fees)
    - ☐ 37 CFR 1.18 [issue fee at or before mailing of Notice of Allowance, pursuant to 37 CFR 1.311(b)]

**INSTRUCTIONS AS TO OVERPAYMENT**

- ☒ **Credit Deposit Account No. 20-0782/AVAN-01000D1.**

**PRIORITY 35 USC 119**

- ☐ Priority of application Serial No. filed on \_\_\_\_\_ is claimed under 35 USC 119.
- ☐ The certified copy has been filed on \_\_\_\_\_ in prior U.S. Application Serial No. \_\_\_\_\_, which prior application was filed on \_\_\_\_\_.
- ☐ Certified copy will follow.

**RELATE BACK 35 USC 120**

- ☒ Amend the specification by inserting before the first line the sentence:

"This is a

- ☒ divisional
- ☐ continuation
- ☐ continuation-in-part

of copending application(s)

☒ Serial No. 10/150,515 filed on May 17,2002"

☐ International Application filed on and which designated  
the U.S."

### ASSIGNMENT

- ☐ The prior application is assigned of record to:
- ☐ An assignment of the invention to is attached.
- ☐ Form PTO 1595 (Recordation Form Cover Sheet) is also attached (**in duplicate**).

### POWER OF ATTORNEY

- ☒ The power of attorney in the prior application is to:

Send correspondence to:

Direct telephone calls to:

Al Bing  
FISH & RICHARDSON P.C.  
12390 El Camino Real  
San Diego, California 92130

(858) 678-5070  
FISH & RICHARDSON P.C.

- ☐ The power appears in the original papers in the prior application.
- ☐ The power does not appear in the original papers, but was filed on.
- ☐ A new power has been executed and is attached.

- ☒ Address all future communications to:  
**John C. Carey**  
MOSER PATTERSON & SHERIDAN LLP  
3040 Post Oak Boulevard, Suite 1500  
Houston, Texas 77056-6582

Direct telephone calls to:  
John C. Carey  
MOSER, PATTERSON & SHERIDAN, L.L.P.  
(650) 330-2310

**MAINTENANCE OF COPENDENCY OF PRIOR APPLICATION**

- ☐ A petition, fee and response has been filed to extend the term in the pending prior application until . **(copy attached)**

**CONDITIONAL PETITION FOR EXTENSION OF TIME IN PRIOR APPLICATION**

- ☐ A conditional petition for extension of time is being filed in the pending prior application. **(copy attached)**

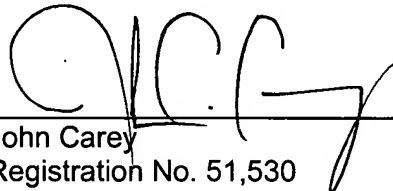
**ABANDONMENT OF PRIOR APPLICATION**

- ☐ Please abandon the prior application at a time while the prior application is pending or when the petition for extension of time or to revive in that application is granted, and when this application is granted a filing date, so as to make this application copending with said prior application. At the same time, please add the words "now abandoned" to the amendment to the specification set forth in the "Relate Back-35 USC 120" section (page 5).

**INFORMATION DISCLOSURE STATEMENT**

- ☐ Submitted herewith is an Information Disclosure Statement.

Respectfully submitted,



John Carey  
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